



Self-Administered Support Book

Division of Services for People with Disabilities

TABLE OF CONTENTS

Page Number

Section 1: Program Overview

Introduction to Self-Administered Services.....	3
Definition of Terms.....	5
Choosing Appropriate Services.....	7
Service Option Descriptions.....	8
Service Options for Self-Administered Services.....	10
Self-Administered Service Agreement.....	11

Section 2: Roles and Responsibilities

Support Coordinator Responsibilities.....	12
Fiscal Agent Responsibilities.....	13
Employee Responsibilities.....	15
Employer Responsibilities	17
Background Screening	19
Incident Reporting.....	20
Time Sheets.....	22
Time Line for Payroll.....	24
Service Specific Training for DTP.....	25
Employee Rate Information.....	26
Termination of Employment.....	26
SAS Compliance Review.....	27
Record Keeping.....	28

Section 3: Medicaid Waiver Services

Administrative Rule and Waiver Information.....	29
Staff Limitations.....	31
Service Codes: General Description	32
Chore Services (CH1).....	36
Companion Services (CO1).....	38
Daily Transportation (DTP).....	41
Home Maker (HS1).....	43
Personal Assistance.....	44
Routine Respite (RP1).....	46
Routine Respite Room and Board (RP6).....	49
Routine Respite Group (RP7).....	52
Routine Respite Group with Room and Board.....	55
Supported Living (SL1).....	58
Frequently Asked Questions.....	61
Section 4: SAS Forms and Links	
Additional Support and Resources.....	65

Section 1: Program Overview

Introduction to Self-Administered Services

Self-Administered Services (SAS) offers an alternative to Agency-Based Provider Services by allowing people with disabilities and their families to select services that are provided within their home. People with disabilities and their families are able to hire, train, and supervise the employee/s providing the support to the person. They also assure that the services stay within the person's allocated budget.

The Division of Services for People with Disabilities (DSPD) allocates an annual budget that obtains authorized supports for the person receiving funding. The funding is provided through DSPD as outlined in the state of Utah's Home and Community Based Services Waiver (Medicaid 1915C). Medicaid waivers allow a person who qualifies for services in a nursing home or intermediate care facility for people with intellectual disabilities (ICF/ID), to receive support services in their own home and community. Medicaid waivers are designed to:

- Promote access, inclusion, and the development of valued social roles for people with disabilities in their local communities.
- Provide support, so that adults with disabilities can live safely in the neighborhoods they choose.
- Provide assistance, so that children with disabilities can live with their families.
- Improve the independence of people with disabilities.
- Promote cost savings over an ICF/ID alternative.

The Community Supports Waiver (CSW) serves people with a diagnosis of intellectual disabilities or related conditions. The Acquired Brain Injury Waiver (ABI) serves adults with an injury that occurs to the brain after birth.

Program funds are only disbursed to pay for services that are outlined in the Person Centered Support Plan (PCSP) and only after the services are performed. All SAS payments are made directly to the person performing the services (the employee) through a fiscal agent under contract with DSPD.

If you use SAS, you will be required to use a fiscal agent. The fiscal agent will provide financial services for the person, or the person's designated representative, including:
(a) verifying the qualifications of the worker, (b) federal, state, and local tax withholding/payments, budget status reports, and (c) processing the Medicaid paperwork and paying the employees.

The support coordinator monitors the budget and ensures that the services are part of the Person Centered Support Plan. If there are any concerns that arise, the support coordinator contacts the person receiving services, or their representative, to resolve the issues. Self-Administered Services are a part of DSPD's goal to allow the maximum amount of independence and choice in the lives of the people we serve.

DEFINITION OF TERMS

Agency-Based Provider: Any company that contracts with DSPD to deliver planned supports to people with disabilities.

Direct Services: Services delivered by an employee in the physical presence of the person.

DSPD: Division of Services for People with Disabilities. DSPD is the state agency responsible for administration of state and federal funding for people with disabilities.

Employer: The person receiving DSPD services, or their representative. This person takes on the responsibility of hiring, training, supervising, and preparing payroll for employees contracted to perform services.

Employee: Any individual hired to provide services to a person receiving Self-Administered Services.

Fiscal agent: An individual or entity contracted by DSPD to perform fiscal, legal, and management duties, including payroll-processing duties for Self-Administered Services. If you use Self-Administered Services, you will be required to process payroll through a fiscal agent.

Home and Community-Based Waiver: An approval from Medicaid to allow states to "waive" certain requirements in order to use Medicaid funds for an array of home and community-based services as an alternative to institutional care.

Medicaid Financial Eligibility Change: The person receiving DSPD services or their representative is responsible for maintaining financial eligibility documentation with Department of Workforce Services (DWS) and for reporting variances as they occur. For example: monthly spend down, inpatient status of person, or changes in location such as out-of-state.

Monthly Summary: A formal report on the services used by the person given to the Support Coordinator at the end of each month.

Person Centered Support Plan (PCSP): A plan developed from an assessment, and a process designed to focus on a person's individual desires. The PCSP should include but is not limited to: preferences, strengths, interests, goals, relationships, health and safety issues, and any matters that provide appropriate support for a meaningful life.

Person Centered Budget: State and Federal Medicaid funds that are allocated to the person being served through DSPD to obtain appropriate supports authorized under the waiver.

Rates: The amount that DSPD pays to a SAS worker for hourly or daily services/supports for a person. The rate includes the direct wage of the SAS worker, and the employer's (person directing SAS) portion of taxes, and the cost of worker's compensation insurance. Employers must pay a rate between federal minimum wage and the maximum Medicaid rate allowed as noted on the fiscal agent pay schedule. The employer can choose the amount of support received by adjusting the direct rate that is paid to the employees providing services. Rates can be changed as needed by the employer.

Self-Administered Services (SAS): A service option for people receiving DSPD funds that allows a person to hire, train, and supervise employees to provide their supports, and manage their allowed budget.

Service Specific Training: A document that contains important information to know about the individual/s. This may include but is not limited to: medical needs, physical needs, dietary needs, and what is needed to implement the support strategies.

Support Coordinator: A person contracted with DSPD to provide assistance in developing needed services and support to a person receiving DSPD funding. The support coordinator also monitors the use of the services and the Person Centered Budget. Support coordinators are primarily "external" meaning they are private contractors and not an employee of DSPD. The person, or person's representative, hires the support coordinator of their choice. On occasions such as entering services, or in situations where an external support coordinator is not available, a state support coordinator (an employee of DSPD) will provide supports under the same standards as an external support coordinator.

Support Strategies: Steps followed by the SAS employee to support the person in achieving goals identified in the Person-Centered Support Plan. These are the items reported on the SAS worker's time card in the comment section.

USTEPS/UIP: A DSPD case management system and provider interface portal.

CHOOSING APPROPRIATE SERVICES

Support Coordinators provide ongoing support to ensure that the needs of the person receiving services are appropriately identified, and that services selected from an Agency-Based Provider and/or Self- Administered Services match the person's needs.

Agency-Based Provider Services are offered through private companies that contract with the DSPD. When using these services, the person, or person's representative, chooses an agency that will meet their specific needs. It is the responsibility of the provider agency to supervise, hire, and assure that the qualifications of the employee providing the services are met.

Self-Administered Services provides an alternative to traditional Agency-Based Provider services by allowing the person or the person's representative (often, a family member) to directly hire employees to meet specific identified service needs. Most of the time Self- Administered supports are provided in the person's home. Self- Administered Services are available to all who are capable of administering the program, and for those who wish to hire their own employees. The person or the person's representative is responsible to, hire, train, supervise and schedule employees, and to approve employee timesheets. Individuals must work with their fiscal agent and support coordinator to meet DSPD and Medicaid requirements.

Services Used in Combination. Needs vary widely and may require a combination of services; for example, an individual may need respite, personal assistance, and a ramp to enable accessibility. A person or person's representative can obtain respite and personal assistance through Self-Administered Services or through an Agency-Based provider, or a combination of both. Support coordinators will offer assistance with non- service needs, (such as ramps) through other available resources.

For support coordinators in need of additional information, access the USTEPS help manual.

SERVICE OPTION DESCRIPTIONS

Self-Administered and Agency-Based Services Options

Financial Management Services/Fiscal agents (FMS): A requirement under Self-Administered Services. Fiscal agents: (a) process payroll for employees including federal, state, and local tax withholding/payments, unemployment compensation fees, wage settlements, fiscal accounting reports, (b) complete tax forms and (c) provide monthly accounting of budgets.

Agency Based only

Family Training and Preparation (TF1/TFA): Includes short-term support to help families understand their role as an employer and to gain skills to use the self-administered service options. The Acquired Brain Injury Waiver uses the **Consumer Preparation Services, (CPS)**.

Self-Administered
or Agency Based

Chore and Homemaker Supports (CH1/HS1): **Chore** supports are typically routine and may include: heavy household chores such as washing floors, windows and walls, snow removal, lawn care, and moving heavy items of furniture in order to provide safe access. **Homemaker** supports are typically routine and may include meal preparation, laundry, shopping, light housekeeping, and routine household care.

Self-Administered
or Agency Based

Companion Services (CO1): Includes non-medical personal assistance, supervision, and socialization. Companions may assist the person with meal preparation, laundry, shopping and incidental housekeeping tasks.

Self-Administered
or Agency Based

Personal Assistance (PA1): Includes assistance with medical and non- medical activities of daily life such as supporting basic healthcare needs, bathing, toileting, dressing, grooming, eating, accessing the community, and incidental housekeeping and chore activities.

Self-Administered
or Agency Based

<p>Supported Living (SL1): Includes supervision and training in Self-Administered Services at the person's home or in the community. Supported living combines personal assistance, routine transportation, and chore and homemaker services. Personal assistance, routine transportation, and chore and homemaker services cannot be used when Supported living is being used.</p>	Self-Administered or Agency Based
<p>Transportation Support (DTP): Provides mileage reimbursement for employees to support a person's access to the community.</p>	Self-Administered or Agency Based
<p>Day Support (DSG): Provides a safe structured setting where a person learns skills to participate in, and contribute to their community.</p>	Agency Based only
<p>Environmental Accessibility Adaptations: Provides equipment (home or vehicle modifications) needed to assure a person's health & safety.</p>	
<p>Extended Living Supports (ELS): Provides a temporary replacement service for a person who receives residential services and is sick, or on a break from school or day services.</p>	Agency Based only
<p>Massage Therapy (SSM): Available to a person with a clearly defined medical need for muscular stress reduction and tension relief.</p>	Agency Based only
<p>Personal Budget Assistance (PBA): Includes assistance to a person with paying bills, writing checks, and balancing a checkbook.</p>	Agency Based only
<p>Personal Emergency Response Systems (PER): Provides devices that enable a person to live independently, or with minimal support to summon assistance in an emergency. Examples of this include but are not limited to pill dispensers and HELP call buttons.</p>	Agency Based only
<p>Professional Medication Monitoring (PM1/1): Services provided by a nurse to assess the health and safety of medications, ensure that medications are administered as prescribed, and to provide follow-up care.</p>	Agency Based only

<p>Respite Care Supports: Includes short-term relief from normal care giving. Respite care provides supervision in the family's home, an employee's home, an overnight camp, a summer program, or an agency-based facility. Respite care supports are available as a single or group service.</p>	Self-Administered or Agency Based
<p>Residential Habilitation (RHS): A daily residential support for a person whose needs cannot be met in the family home.</p>	Agency Based only
<p>Specialized Medical Equipment (SM1/2): Supplies and Assistive Technology that enable a person to increase his or her ability to perform activities of daily living and to gain greater independence.</p>	Agency Based only
<p>Support Coordination (SCE): A required service that assures the person in services receives needed supports, and meets state and federal service requirements</p>	DSPD and Agency Based only
<p>Supported Employment (SEI): Provides help to a person in finding and/or maintaining full or part time competitive employment in an integrative setting.</p>	Agency Based only

SERVICE OPTIONS FOR SELF-ADMINISTERED SERVICES

This section outlines the various Medicaid waivers offered through DSPD. Under each definition, a list of services specific to each waiver is provided. Agency-based services may be used in combination with Self-Administered Services, but each must be accounted for separately in the budget. All services are based on the assessed needs of the individual. The support coordinator can help to explain what each of these services represents.

Community Supports Waiver (CSW) serves people with a diagnosis of intellectual disabilities or related conditions.

<u>Service Options for Self-Administered Services</u>	<u>Code</u>
Financial Management Services	FMS
Chore Services	CH1
Homemaker Service	HS1
Companion Services	CO1
Personal Assistance Service	PA1
Family Training and Preparation	TF1
Supported Living	SL1
Respite	RP1, RP6
Respite-Group	RP7, RP8
Transportation Services	DTP

Acquired Brain Injury Waiver (ABI) serves people with an injury that occurs to the brain after birth.

<u>Service Options for Self-Administered Services</u>	<u>Code</u>
Chore Services	CH1
Homemaker Services	HS1
Respite	RP1
Supported Living Services	SL1
Transportation Services	DTP

Self-Administered Service Agreement

A Self-Administered Service agreement (SAS agreement) is a binding contract with DSPD that allows for the self-administration of services. The service agreement is completed for the first time when initiating services, and annually thereafter. It is traditionally completed during the person centered planning meeting. The service agreement should be kept with other records and be available for review upon the request of the support coordinator or DSPD.

Regular communication with support coordinators helps to identify service needs for the person and their family members. Services can be canceled or changed to an Agency-Based Provider model by either the person/person's representative or DSPD.

The person or person's designated representative is considered the SAS program employer of record. The SAS program employer of record agrees to be responsible for all SAS activity and record keeping, as well as assurances of compliance.

Links to the agreements for the Community Supports Waiver and the Acquired Brain Injury Waiver are found in Section 4 Forms and Links. You can also access the SAS agreements online. Self-Administered Services agreements are listed as:

- 2-9EA Employee Employment Agreement.
- 2-9SA Employer Service Agreement
- 2-9C Employee Application for Certification
- 2-9T Notice of FMS Transfer or Termination

SECTION TWO: ROLES AND RESPONSIBILITIES

Support Coordinator Responsibilities

The overall responsibility of the support coordinator is to:

- Explain and identify service options.
- Coordinate the initial and annual Person Centered Supports Plan (PCSP) meeting. During the meeting, goals and interests of the person are identified in order to support independence, and enhance self-determination.
- Assist with PCSP annual budget allocation. Support coordinators will monitor both the spending and the remaining budget for the plan year. This includes all prescribed services for each of the persons and families they serve.
- Monitor services by conducting face-to-face visits with the person according to the services provided. Visits should occur no less frequently than every ninety (90) days.
- Monitor documentation by assisting in the initial as well as annual documentation requirements.
- Complete annual SAS audit forms for each person served.
- Provide basic support towards understanding SAS services. This will be a combined effort with the fiscal agent.
- Post to DSPD USTEPS or UPI log notes on visitation outcomes and various correspondences such as provider/employer monthly service summaries, incident reports, follow up activity, medical reports, etc.

FISCAL AGENT RESPONSIBILITIES

The fiscal agent oversees the financial responsibilities of SAS. Their responsibility is to:

- Provide a document packet to the person containing various DSPD and employer forms. These forms should include but are not limited to: fiscal agent appointment, employer FEIN SS-4, employee forms (including: W4, I-9, BCI form), employee certification form 2-9C, employee agreement form 2-9 EA, time card(s) required for services and instructions on how to complete the forms. Links to some of these forms are provided under section 4 forms and links.
- Ensure required payroll paperwork is received and remains current prior to paying employees.
- Send paychecks directly to employees, withholding all required taxes; issue an annual W-2 income and tax summary for each employee.
- Follow set pay periods; payments occur at least two times per month.
- Make payments for services identified in the employee agreement, and per employer, and employee approved (signed) time cards.
- Monitor and maintain current records.
- Ensure time cards reflect worker shift as a.m. or p.m., and do not include duplicated or overlapping periods.
- Ensure time cards have proper authorization signatures, and have been submitted on time.
- Send a monthly report showing employer payments and budget balance.
- Decline payments to employees who do not pass a background check, and discontinue payments to employees who do not renew their background check before it expires. Please note on some occasions it may take several weeks for notification of a completed background check.
- Maintain a customer service call center.
- Provide additional training as needed
- Provide for workers' compensation insurance

LIMITATIONS

The fiscal agent cannot:

- Make payments outside of the set pay schedule or without the DHS/DSPD service authorization form 1056 generated by the support coordinator to authorize payment.
- Make payments without a completed background screening on potential employees and annually on on-going employees.

* As an employer, you may choose to offer those you employ health or life insurance. The Fiscal agent will deduct these premiums at your request.

EMPLOYEE RESPONSIBILITIES

Employees provide direct care to the person receiving services. Employee responsibilities include but are not limited to:

- Complete all required training (documented on form 2-9C) prior to working with the person unsupervised.
- Be familiar with the service definitions and [service specific training form](#), and know where a copy is located.
- Be familiar with the [support strategies](#) and know where a copy is located.
- Be familiar with the emergency contact and information form, and know where a copy is located.
- Provide supports outlined in the [support strategies](#).
- Keep any data, logs, or required information. Keep comments on timesheets current.
- Follow the Code of Conduct. Annually review the Code of Conduct and sign the signature page.
- Complete payroll forms, timesheets, comment sections, and follow pay period and submission timelines.
- Fill out a [background screening application](#) on an annual basis and ensure it is submitted to the fiscal agent in a timely manner. This ensures continuous approved background check status.
- Follow all incident-reporting requirements by notifying your support coordinator to fill out an incident report in USTEPS/UIP.
- Share important information to develop future goals and services.

The following forms need to be completed in order for reimbursement of direct care services to occur. These forms also confirm all Medicaid requirements have been met. The fiscal agent is required to have the following:

- [W-4](#) employees withholding allowance certificate
- [I-9 Employee Eligibility Verification Form](#) (there are two sections that need to be completed by you and your employer). Include copies of 2 forms of ID. See reverse side of I-9 for the list of accepted documentation and further instructions.
- [A form 2-9EA Employment Agreement](#)
- [Background screening application](#)
The employee's social security card and identification such as a current driver's license will need to be verified by the employer for the background screening application. The employer will need to see the originals. A copy of the employee's social security card and identification may be used to fill out the I-9 form.

To meet Medicaid Requirements, the following forms need to be completed:

- A form [2-9C Employee Certification](#) provided in the fiscal agent packet also available online, and under Section 4 Links. Complete all areas identified and indicate knowledge of Requirements for Certification by signing and dating each area completed.
- A [Department Code of Conduct](#) and any [Division Code of Conduct](#). Read completely and sign the signature sheet.

EMPLOYER RESPONSIBILITIES

The person receiving services, or their representative, becomes the employer when using SAS. This person's responsibility is to:

- Sign and annually update the Self-Administered Services Agreement form 2-9SA.
- Select a Fiscal agent, and inform both the Support Coordinator and the Fiscal agent of any updates or changes to employee status for all hires or released workers.
- Develop and maintain support strategies.
- A [support strategy](#) is an annual requirement that identifies the steps to reach a goal that has been decided by the individual receiving services and their support team. You may work with your support coordinator to develop support strategies. Support strategies are due to your support coordinator within 30 days of the Person Centered Planning meeting.
- Ensure that employees understand, and are familiar with, the support strategies, and know where they are located.
- Develop and update the [service specific training](#) page.
- Ensure that employees understand and are familiar with the service specific training and know where a copy is located.
- Develop and update the emergency contact and information form.
- Ensure that employees understand, and are familiar with, the emergency contact and information form, and know where it is located.
- Maintain employee personnel and training records for six years.
- Ensure employees meet DSPD training requirements.
- Ensure employees are 16 years of age or older, and complete the employment agreement form. For overnight or transportation services the age requirement is 18 and over. If the employee is 16 years or older, but under the age of 18, a parent/guardian signature is required on the employment agreement form.
- Submit [monthly summaries](#) to the support coordinator.

A Monthly Summary is a narrative that describes what happened during the previous month to address the goal (Support Strategy).

Monthly summaries can be completed via, phone, email or a written note (including comments on time sheets). Summaries should be shared in a way that works for you and your support coordinator to document monthly services and outcomes.

- The person or representative shall complete a Monthly Summary of services for each month in which services are rendered and submit it to the Support Coordinator by the 15th of the month following the month of services.
 - (a) If the person does not provide this information to DSPD for a three-month period, the fourth months' payment shall be withheld until the Monthly Summaries are submitted.
 - (b) If the person submits all required Monthly Summaries within fourth months, payment will be reinstated.
 - (c) If Monthly Summaries are not provided for the fifth month, then at the sixth month, DSPD will require the person to use a contracted Provider and not participate in Self-Administered Services.
- Receive review and sign timesheets with employees and submit according to the Fiscal agent's payroll schedule.
- Responsible for recruiting, screening, hiring, firing, and training employees.
- Responsible for ensuring employees providing direct services have a cleared [background check](#). Background checks are to be completed annually for any employee providing services.
- The Person's representative shall notify the support coordinator if any of the following occurs:
 - (a) If the person moves; in moving from one area of Utah to another, DSPD services are retained, moving out of Utah closes all DSPD services. A new application for DSPD services would be required and the person would be placed on the waiting list if they return to Utah after moving out of the state.
 - (b) If the person is in the hospital or nursing home; or
 - (c) Death of the person.

Ensure that all required paperwork is filled out by the employee including:

- A form 2-9C employee certification complete all areas identified and indicate knowledge of requirements for certification by signing and dating each area completed
- A [Department code of conduct](#) and any [Division code of conduct](#)
- [W-4](#) employee withholding allowance certificate. This form is used by the fiscal agent to adjust employee taxes for claimed exemptions.
- [I-9 Employee Eligibility Verification Form](#) (there are two sections that need to be completed by you and your employer). Include copies of 2 forms of ID. See reverse side of I-9 for the list of accepted documentation and further instructions.
- [Form 2-9EA Employment Agreement](#) ; provided in the fiscal agent packet also available on the DSPD website.

Background Screening

[Background screening application](#), also referred to as a background check is an initial and annual review of any individual providing direct care support to an individual in services.

The employee's social security card and identification such as a current driver's license or state ID, will need verification by the employer. The employer will need to send in a copy of the driver's license or state ID, and the social security card to the fiscal agent.

Everyone over the age 18 who receives pay for services (including relatives) will need to submit two completed fingerprint cards with their background screening application. Renewal applicants (those with a current screening on file with the Office of Licensing submitted after September 1, 2015) only need to submit fingerprints at their renewal if they are a resident and/or use identification not issued by a WIN state (Utah, Washington, Oregon, Idaho, Montana, Wyoming, Alaska or Nevada).

The fiscal agent will submit the forms and notify you when the background screening is complete, and provide certification for your records. This process can be delayed if information on the application is not legible, or the fingerprint cards have significant smudging or sequence errors.

The background screening application should be sent to the fiscal agent you have decided to work with by mail or fax. New employees may not work, even supervised, until the background screening application has been submitted by the fiscal agent to the Department of Human Services, Office of Licensing by mail or hand delivered.

ACUMEN Fiscal agent

PO BOX 539
OREM UT 84059-0539
888-221-7014

LEONARD CONSULTING, LLC

1059 E 900 S
SLC UT 84105
801-359-4699

MORNING STAR Financial Svc

PO BOX 9323
SLC UT 84109
801-484-0787 or 888-657-0874

Incident Reporting

Employers must provide proper training to staff regarding incident reporting. Employers and employees are required to know what types of incidents to report, and reporting timelines. It is required that the employer or employee notify the support coordinator of any reportable incidents that occurs, while the person is in the care of the employee within 24 hours of the occurrence. Notification may be in the form of a phone call, email or fax.

The support coordinator will fill out the incident report entry in the USTEPS/UPI

The employer and their employees will need to comply with the mandatory reporting requirements of the Utah Code 62A-3-305 and 62A-4a-403 by immediately notifying APS (Adult Protective Services) intake, CPS (Child Protective Services) intake or the nearest law enforcement agency of actual or suspected incidents of abuse, neglect, exploitation, or maltreatment. Additionally, in these situations, the support coordinator shall document in the incident report that prevention strategies are developed and implemented, (when applicable), and that verification (during face-to-face visits) of safeguards and interventions are in place.

The following incidents require the filing of a report:

- (a) Actual and suspected incidents of abuse, neglect, exploitation, or maltreatment per the DHS/DSPD Code of Conduct and Sections 62-A-3-301 through 321 for adults and Sections 62-4a-401 through 412 for children;
- (b) Drug or alcohol abuse;
- (c) Medication overdoses or errors reasonably requiring medical intervention;
- (d) Hospitalizations due to medical or psychiatric conditions;
- (e) Attempted suicides;
- (f) Aspiration or choking which resulted in an emergency medical intervention;
- (g) Missing person over two hours, or considered endangered;
- (h) Evidence of seizure in a person with no seizure diagnosis;
- (i) Significant property destruction (Damage totaling \$500.00 or more is considered significant);
- (j) Physical injury reasonably requiring a medical intervention;
- (k) Law enforcement involvement;

- (l) Use of mechanical restraints, time-out rooms or highly noxious stimuli that is not outlined in the Behavior Support Plan, as defined in R539-4; or emergency behavior interventions;
- (m) Human rights violations such as the unauthorized use of restraints seclusion rooms or the infringement of a person's privacy rights;
- (n) Any other instances the person or representative determines should be reported;
- (o) Public or media attention for incidents that have been referred by elected officials;
- (p) Incidents that involve alleged or confirmed waste, fraud, or abuse of Medicaid funds;
- (q) Death (all fatalities expected or unexpected need to be reported).

After receiving an incident report, the support coordinator shall review the report and determine if further review is necessary.

Time Sheets

The timesheet is an important document and provides internal controls that reduce misuse or fraud when used properly. It reflects the implementation of labor agreements and payroll obligations. A timesheet entry needs to be completed each time the employee works. The time sheet should indicate the exact time (including a.m. and p.m.) the shift begins and ends. The employee is required to make a brief comment on the timesheet of the service provided during the shift. The employer may contact the fiscal agent with any questions concerning filling out a timesheet or using a fiscal agent on-line or telephone-based reporting system. Complete and correct information must be provided on the timesheet or the employee will be asked to make necessary corrections, which may delay the employee's payment.

Timesheets will be reviewed by both the employer and the fiscal agent for correct billing information. The fiscal agent deducts taxes, and provides payment directly to employees during normally scheduled payroll practices. Following a payroll, a person's SAS budget with the fiscal agent is updated and the SAS employer is provided a current and historical summary of payments and remaining budget. The support coordinator will not have access to the processed time sheets. Time sheets are sent directly from the employer to the fiscal agent, which are then processed through the fiscal agent, and are not, in practice, redistributed to any other parties. It is the employer's responsibility to share time sheet information with the support coordinator if the employer finds it necessary, or the support coordinator requests it.

Follow the Utah Timesheet Instructions Below:

1. Enter employee name (LAST NAME, FIRST NAME)
2. Enter employee ID (Social Security Number or fiscal agent employee number)
3. Enter the person receiving services' name (LAST NAME, FIRST NAME)
4. Enter the person's ID number (DSPD 0-nine-digit number)
5. Enter the service date(s) - the date(s) that were worked (Month/Day/Year)
6. Enter the time work began and ended. Indicate a.m. or p.m. hours (12:00 noon is p.m. and 12:00 midnight is a.m.)
7. Enter the corresponding service code using the following letter codes as applicable: CO1 - Companion
RP1 - Respite
RP6 - Respite
RP7 - Respite-Group
RP8 - Respite-Group (room and board)
TF1 - Family Training and Preparation
SL1 - Supported Living
HS1 - Homemaker Supports
CH1 - Chore Services
PA1 - Personal Assistance
DTP - Transportation /per mile
8. Enter comments regarding the services provided. This should be brief and related to the goal addressed in the [support strategy](#).
9. Ensure the employee and the employer sign the time sheet. "pre-signed" forms are not allowed.
10. Enter dates by the signatures.

Time Line for Payroll

The employer may fax, mail, or electronically submit signed/approved timesheets to the fiscal agent by the deadline of the 1st and 16th of each month or as instructed by the fiscal agent.

Timesheets received on or before the 1st of the month will be paid on or before the 15th.

Timesheets received on or before the 16th of the month will be paid on or before the 30th.

Variations in the payroll schedule may occur due to holiday and weekend dates. Refer to the payroll schedule provided by the fiscal agent. This schedule may be included in the daily file.

The employee must inform the employer of any changes in contact information, such as address or name change, so the fiscal agent can be notified.

Payroll may NOT be processed by the fiscal agent without prior support coordinator approval if it is received more than 30 days following the month services were provided. The fiscal agent receives time sheets, reimburses employees, and submits payment documentation to DSPD, which is processed on a weekly basis. Questions about payroll schedules and processes can be answered by your fiscal agent.

Service Specific Training for DTP (Daily Transportation Payment)

Employees providing transportation must abide by the following guidelines.

- Persons are not to be left unattended in the vehicle.
- Persons must remain seated while the vehicle is in motion.
- Keys are removed from the vehicle at all times when the driver is not in the driver's seat unless the driver is actively operating a lift on vehicles that require the keys to be in the ignition to operate the lift.
- All persons in wheelchairs must use seat belts or locking mechanisms to immobilize wheelchairs during travel.
- Persons must be transported in safety restraint seats when required by Utah State law.
- Vehicles used for transporting persons must have working door locks, and doors must be locked at all times while the vehicle is moving.
- During an emergency, the employee is responsible for the person until relief or help arrives.
- Driver must have current driver license and employer/driver must have current vehicle insurance, license and inspections.
- Failure to serve the person under these terms may be cause for termination of this service.
- Per Title 41, Chapter 6a, Section 1803 the use of safety belts is required.

Some codes like respite include incidental travel. Minors for any service must have current driver's license and vehicle insurance.

Employee Rate Information

To establish or change your employee's rate of pay, turn in an Employee Rate Information Form. This form is included in the fiscal agent's packet.

Termination of Employment

Termination of an employee requires a fiscal agent employee termination form be submitted to your fiscal agent in addition to the final timesheet.

Complete the appropriate section for the Employee Termination Form provided in the fiscal agent packet.

Blank forms for your fiscal agents are located at one of the following websites:

Acumen

<https://www.acumenfiscalagent.com/>

Leonard Consulting, ILC

<http://leonardconsultingllc.com/>

Morning Star Financial Services

<http://morningstarfs.com/>

SAS Compliance Reviews

The Support Coordinator will annually review your file to ensure SAS compliance. Please ensure you have the appropriate documents available upon request. Below is a document checklist, which provides a list of the forms you will need to have in a file.

Document Checklist

The following table lists the required documentation to participate in Self-Administered Services and identifies who receives copies of each document

SAS DOCUMENT CHECKLIST	
DOCUMENT NAME	ACTION
Agent Authorization 2678	Employer returns to Fiscal agent, Employer keeps copy
Employer FEIN SS-4	Employer returns to Fiscal agent, Employer keeps copy
Copy of Driver's License (for BCI, I-9 and if transporting)	Employer sends to Fiscal agent, Employer keeps copy
BCI (annually)	Employer returns to Fiscal agent, Employer keeps copy
I-9 Employee Verification	Employer returns to Fiscal agent, Employer keeps copy
W-4 Form Tax Withholding	Employer returns to Fiscal agent, Employer keeps copy
Proof of Insurance if Transporting	Employer collects copy from Employee when applicable, Employer keeps copy
Employee Certification 2-9C	Employer keeps originals in file for all Employees
Employment Agreement 2-9EA	Employer sends 2-9EA for each employee hired to fiscal agent, Employer keeps copy
Employer Agreement 2-9SA	*DSPD Document, Employer keeps copy
Person Centered Support Plan	SCE provides to Employer at least annually
Time Sheet with Comments	Employer sends in to Fiscal agent, Employer keeps copy
Employee Code of Conduct Department and Division	Employer keeps originals in file for all Employees
Service Specific Training	*DSPD Document, Employer keeps documentation of training in file
Support Strategies	*DSPD Document, Employer develops and keeps in file
Emergency Contact and Incident Report Forms	*DSPD Document, Employer keeps original in file, also blank incident reports available
Monthly Summaries	Various forms of documentation SCE documents on USTEPS

*DSPD Document is defined as a document available on the DSPD website. Modifications are allowable for Support Strategies and Emergency Contact forms.

DSPD reviews are completed by reviewing SAS Compliance Review Checklist. SCE's complete these on an annual basis.

Record Keeping

Daily File: A recording system for employees to use each time that they work; this system is referred to in this support book as a “daily file.”

Items to include in a daily file:

- Blank [incident report form](#) also referred to as a Form 1-8. These forms may be used to document incidents however; the support coordinator will be responsible for addressing reportable incidents by entering them into UPI.
- Emergency contact and information form
An emergency contact form is used to provide contact information in the case of an emergency. This can include but is not limited to current home phone number and address, pertinent health care information and parent or family contact information.
- Current [support strategies](#)
- [Service specific training](#)
- Blank timesheets
- Optional - Living will and or Do Not Resuscitate declaration

Employee File Information:

Maintain the following documents in a confidential employee file

- Copy of auto insurance policy (if transporting)
- Copy of employee’s driver’s license (if transporting)
- Copy of social security card
- Original W4
- Original I-9
- Signature sheet of the code of conduct (reviewed annually)
- Signed copy of the employee agreement
- Signed copy of employee certification
- Copies of background screening applications submitted and any denials

Section 3 Medicaid Waiver Services

Administrative Rule and Waiver Services

Utah Administrative Rules governing the use and administration of Self-Administered Service are available on the [Utah Department of Administrative Services](#) website, or through the DSPD website, and can be accessed through the link provided in Section 4 Links.

Avoiding Fraud and the Misuse of Funds

The use of Self-Administered Services, like all DSPD services, requires following all Medicaid rules and regulations. Misrepresentation of the use of Medicaid funds could result in the loss of the right to self-administration and may result in criminal action, imprisonment, and substantial fines and paybacks. A responsible employer should work closely with their support coordinator and fiscal agent, and follow the DSPD and Medicaid requirements. DSPD is required to account for all the funds disbursed. Examples of fraud and misuse of funds that may result in inspection of records, payback of funds and criminal actions include, but are not limited to:

- One employee billing for more than one service at the same time
- More than one employee billing for services at the same time
- Employers asking employees to bill for hours not really worked or approving payment for more hours than were actually worked
- Asking employees to work without compensation
- Approving payment for hours of work when the person was receiving services from another source (at school, in the hospital, etc.)
- Approving payment for hours of work when the employee was unavailable to work (out of town, in jail, on vacation, away at school, etc.)

If findings from an investigation confirm employers have engaged in fraud and misuse of funds, funds paid must be paid back to the state by the family and/or employee. In order to avoid a payback, make sure that:

- You compare timesheets from all employees to make sure that the work times recorded do not conflict or overlap with other employees' work times
- Your employees record only one service during a time period (do not record multiple services at the same time)
- Your employees have not recorded working on days or times when the person is not available to receive services
- Your employees are not recording more hours on timesheets than they've actually worked
- Work times are billed as a one-on-one service (meaning one employee to one person). The only exception to this is group respite services (RP7-RP8) that allow up to three people to be served at the same time.
- The same worker does not bill for multiple services during the same work times. For example, supported living (SL1) includes: personal assistance (PA1), chore (CH1), homemaker services (HS1), and routine transportation (DTP & MTP). Do not duplicate service hours and individually bill for DTP, CH1, HS1 or PA1 by the same worker.
- Pay rates are within the designated range for services listed in the fiscal agent packet.
- The employer does not receive payment or take a portion of the employee's pay.
- An employee providing overnight services, working during typical hours of sleep, or providing transportation is at least 18 years of age. Each month the fiscal agent (your payroll agency) and your support coordinator will review timesheets for accuracy and appropriate usage of services. You may be asked to clarify if the following situations are found:
- Unexpected high use of services occurs in one month. If a person's situation changes, contact your support coordinator and inform him/her of your needs and possible changes in your expected use of service before submitting timesheets. High use of services at the end of the plan year, unless justified and approved by your support coordinator.
- Billing for new employees prior to notifying the support coordinator.

Each support coordinator must sign a copy of the Form 2-9C, which documents the employee has completed certification. You must inform both your support coordinator and fiscal agent of any staff changes.

Staff Limitation

The following may **not** be employed to work for pay with a family member:

- Parents
- Step-Parents
- Guardians
- Spouses

Parents, guardians, or step-parents shall not be paid to provide services to the person, nor shall an individual be paid to provide services to a spouse. No one who is appointed as the SAS employer of record may be paid to provide direct services for pay.

At-will employee status is applicable to all SAS employees. This allows the employee or employer to terminate employment with or without notice for any reason, resulting in no disciplinary action or penalty, with the exception of abuse, neglect or exploitation (which must be reported to proper authorities by law).

SERVICE CODE DESCRIPTIONS

GENERAL SAS SERVICES EMPLOYEE QUALIFICATIONS, SERVICE AND TRAINING REQUIREMENTS

The following apply to all SAS services

A. General Employee Qualifications:

1. Age Requirements:

Services provided to Persons with Intellectual Disabilities (ID) or Related Conditions (RC)

Employees shall be at least 16 years of age when providing services to persons with ID or RC, however, in the following situations the employee shall be at least 18 years of age:

- (a) When transportation is provided;
- (b) When a service code includes transportation, or
- (c) When services provided are during over-night hours characteristically occupied by sleep

Employees that are 16 years of age or older but under 18 years of age shall require a parent/guardian signature on the employment agreement form 2-9EA

Services provided to Persons with Acquired Brain Injury (ABI)

Employees shall be at least 18 years of age when providing services to people with ABI

Services provided to Persons with Physical Disabilities (PD)

Employees shall be at least 18 years of age when providing services to people with PD

- #### 2. Background Screening:
- In accordance with Utah Code §§ 62A-2-120 through 122 or Utah Administrative Code, Rule R501-14, employees must pass an initial screening and annual background screenings completed by and consistent with current DHS Office of Licensing (DHS/OL) requirements. Any paid employee shall be considered as direct-care staff and shall comply to initial and annual background screenings consistent with current DHS/OL requirements. A cleared background screening is required before direct services are provided.

3. Demonstrate Competency:
 - (a) Employees shall demonstrate competency, as determined by the employer
 - (b) Employees shall receive training from the employer that prepares them to complete the job functions for the service provided
 - (c) Completed Application for Certification form 2-9C to Provide Limited Services to a person under the Self- Administered Services agreement
4. Employees shall complete all General SAS Service Training, and Service and Person Specific Training before providing services

B. General SAS Service Requirements:

1. Personal Funds:

The employee shall not loan or give money to a person they support or accept a loan or money from the person
2. The employer shall orient the employee to the portions of the person's Person Centered Support Plan (PCSP) that the employee shall be responsible for implementing
3. Actual type, frequency, and duration of services shall be defined in the person's PCSP
4. When transportation is provided:
 - (a) The employer shall check the p's driving record annually. Drivers with problematic records shall not be allowed to provide transportation.
 - (b) The employer shall check annually that the employees who provide transportation in their own vehicle have current auto insurance.

The employer shall keep a copy of employees' driver's record, insurance and documentation of their annual review in the employee's file

C. General SAS Service Training:

1. Employees shall have knowledge of where to find information or who to contact in case of a question or unusual event
2. Employees shall demonstrate knowledge of emergency evacuation procedures for fire and other disasters
3. Employees shall complete and achieve awareness and competency as determined by the employer in the following areas:
 - a. Medication competency:
 - (1) Identification of medication and medication side effects specific to the person
 - (2) Recording and documentation of self-administration of medication including frequency, dosage, and type of medication taken
 - (3) Safely follow physician orders
 - (4) Know what prescribed medication is for, the correct dose, how to take the medication properly, and the schedule prescribed

Employees shall immediately contact the employer, and if needed, the appropriate medical professional to report the discovery of any prescribed medication error, including actual missed or suspected missed dosage, misadministration of medication, medication administered at the wrong time, or failure to follow laboratory survey schedule, and shall document the error on their timesheet.
 - b. Recognition of illness or symptoms of health deterioration specific to the person
 - c. Dietary issues to specific to the person
 - d. Critical health care issues specific to the person
 - e. Swallowing and eating difficulties specific to the person
 - f. Preferences and non-negotiable routines specific to the person
 - g. Significant functional limitations and disabling conditions specific to person
 - h. If providing services to Persons with ABI:

- (1) Effects of brain injuries on behavior
- (2) Transitioning from hospital to community support programs including available resources
- (3) Functional impact of brain changes
- (4) Health and medication
- (5) Role of the direct care employee relating to the treatment and rehabilitation process
- (6) Treatment plan and behavioral supports
- (7) Awareness of the family's perspective on the brain injury

4. Service Specific Training form:

The employee shall receive a 'Service Specific Training' form, training from the employer and comply with all instructions

CHORE SERVICES (CH1)

A. General Description:

Chore services (CH1) are services that help maintain a clean, sanitary, and safe living environment for Persons that are unable to complete chore activities on their own.

B. Population Served:

Persons with Intellectual Disabilities, Related Conditions (ID, RC) and/or adults age 18 and older with Acquired Brain Injury (ABI) as defined in Utah Administrative Code, Rule R539-1 and are receiving Department of Human Services, Division of Services for People with Disabilities(DHS/DSPD) Self-Administered Services (SAS).

C. Direct Service Requirements:

1. All General SAS service requirements shall be implemented
2. CH1 shall be provided only in cases where no other relative, caregiver, landlord, or volunteer agency is capable of or responsible for the chore
3. When the residence is a rental property, the responsibilities of the landlord pursuant to the lease agreement shall be reviewed prior to authorization of CH1 services
4. CH1 may include:
 - a. washing floors, walls and windows
 - b. snow removal
 - c. lawn care
 - e. securing loose rugs and tiles
 - f. moving heavy furniture to provide safe access

D. Limitations:

CHI shall **not** be:

1. Provided or billed at the same time persons are receiving the following service codes: ELS, PA1, PPS, HHS, RHS, SL1, SLH or SLN
2. A skills training service

E. Employee Qualifications:

The Employee shall:

1. Meet all General SAS Staff Qualifications
2. Be capable of heavy lifting and physically completing all required tasks

F. Specific Training Requirements:

1. General SAS service training requirements shall be completed before providing services
2. Maintain a clean, sanitary and safe living environment in the person's home

G. Rate: CH1 is a one-to-one quarter hour service

COMPANION SERVICE (CO1)

A. General Description:

Companion service (CO1) provides one-on-one non-medical care, socialization, and supervision, for persons. Companions assist with or supervise tasks like meal preparation, shopping, laundry. Occasionally, companions may assist with light housekeeping chores necessary for care and supervision of the person.

B. Population Served:

Persons with Intellectual Difficulties, Related Conditions (ID, RC), and/or adults age 18 years and over with Acquired Brain Injury (ABI), as defined in Utah Administrative Code, Rule R539-1 and receiving Department of Human Services, Division of Services for People with Disabilities (DHS/DSPD) Self-Administered Services (SAS).

C. Direct Service Requirements:

1. All General SAS Requirements shall be implemented

CO1 employees shall:

2. Provide socialization
3. Assist and supervise tasks like meal preparation, shopping, and laundry
4. Occasionally assist with light housekeeping chores necessary for care
5. If providing transportation, the employee shall have:

- a. A current and valid driver's license
- b. Current vehicle registration
- c. Current automobile insurance

Employee shall ensure:

- d. Persons are not left unattended in the vehicle
- e. Persons use lap/shoulder belts and remain seated while the vehicle is in motion
- f. Keys are removed from the vehicle at all time when the driver is not in the driver's seat unless the driver is actively operating a lift on vehicles that require the keys to be in the ignition to operate the lift

- g. All persons in wheelchairs use both the available lap belt and wheel locks on the person's wheelchair and available lap/shoulder belt within the vehicle/mechanisms to restrict movement of wheelchairs during travel seat belts, or locking mechanisms to immobilize wheelchairs during travel
 - h. Persons are transported in safety restraint seats when required by Utah State law
 - i. Vehicles used for transporting persons have working door locks. Doors are locked at all times while the vehicle is moving
 - j. Persons arrive safely at the scheduled time and arranged destination, that no person is left alone along the way to or from day supports even in emergency situations or when the health and safety of others may be in question. If necessary during an emergency, the driver may wait until another driver arrives to complete the transportation
5. Provide access to community services assisting the person in accessing community services and resources, including but not limited to finding housing, applying for food stamps, and obtaining Social Security benefits.

D. Limitations

CO1 shall not:

- 1. Be provided or billed for medical or personal nursing care
- 2. Be used for personal nursing care.
- 3. Be provided or billed at the same time at the same time persons are receiving any other DHS/DSPD services

E. Employee Qualifications:

The employee shall meet all General SAS Staff Qualifications

F. Specific Training Requirements:

General SAS Service Training Requirements shall be completed before providing services

G. Rate:

CO1 is a one-to-one service that includes both a quarter hour and daily rate. A daily rate is equal to six or more continuous hours of COI service

DAILY TRANSPORTATION PAYMENT (DTP)

A. General Description:

Daily Transportation Payment (DTP) provides mile reimbursement for transportation provided to persons. The transportation service is to enable persons to gain access to Wavier and other community services, activities and resources.

Whenever possible, family, neighbors, friends, or community agencies that can provide this service without charge shall be utilized.

B. Population Served:

Persons with Intellectual Disabilities, Related Conditions (ID, RC) and/or adults age 18 and older with Acquired Brain Injury (ABI) as defined in Utah Administrative Code, Rule R539-1 and are receiving Department of Human Services, Division of Services for People with Disabilities (DHS/DSPD) Self Administer Services (SAS).

C. Direct Service Requirements:

1. All General SAS service Requirements shall be implemented
2. Track transportation mileage on a trip log, which shall include a minimum of the following:
 - a. Driver's name
 - b. Name of person or the person's Personal Identification Number (PID)
 - c. Date of travel
 - d. Purpose of the trip
 - e. Beginning and ending physical locations including address
 - f. Amount of miles traveled, beginning and ending mileage from the odometer
3. The employee shall have:
 - a. A current and valid driver's license
 - b. Current vehicle registration
 - c. Current automobile insurance

Employee shall ensure:

- d. Persons are not left unattended in the vehicle
- e. Persons use lap/shoulder belts and remain seated while the vehicle is in motion
- f. Keys are removed from the vehicle at all times when the driver is not in the driver's seat unless the driver is actively operating a lift on vehicles that require the keys to be in the ignition to operate the lift
- g. All persons in wheelchairs use both the available lap belt and wheel locks on the person's wheelchair and available lap/shoulder belt within the vehicle/mechanisms to restrict movement of wheelchairs during travel seat belts, or locking mechanisms to immobilize wheelchairs during travel
- h. Persons are transported in safety restraint seats when required by Utah State law
- i. Vehicles used for transporting Persons have working door locks. Doors are locked at all times while the vehicle is moving
- j. Persons arrive safely at the scheduled time and arranged destination, that no person is left alone along the way to or from day supports even in emergency situations or when the health and safety of others may be in question. If necessary during an emergency, the driver may wait until another driver arrives to complete the transport

D. Limitations:

DTP shall not:

- 1. Be reimbursed for medical transportation, transportation that is available at no charge, or as part of administrative expenditures
- 2. Be used when payment for transportation is included in a service code and established in the rate for that service code, without prior approval from DHS/DSPD

E. Employee Qualifications:

The employee shall meet all General SAS qualifications

F. Specific Training Requirements:

The employee shall meet all General SAS Staff Qualification

G. Rate:

DTP is a mileage rate

HOME MAKER SERVICES (HS1)

A. General Description:

Homemaker Services (HS1) provides general household activities and services to maintain a person's home in a clean, sanitary, and safe environment. HS1 can be provided when the individual regularly responsible for such activities is temporarily absent or unable to do them or if the person is unable to manage the home and care themselves.

B. Population Served:

Persons with Intellectual Disabilities and Related Conditions (ID, RC), and adults age 18 and older with acquired brain injury (ABI), as defined in Utah Administrative Code, Rule R539-1 and are receiving Department of Human Services, Division of Services for People with Disabilities (DHS/DSPD) Self-Administered Services (SAS).

C. Direct Service Requirements:

1. All General SAS service requirements shall be implemented
2. Maintain a clean, sanitary and safe living environment in the person's home.
3. HS1 may include meal preparation and routine household care

D. Limitations:

HS1 shall not:

1. Provide transportation
2. Be used as a skills training service
3. Be provided or billed at the same time as CO1, SL1 or PA1

E. Employee Qualifications:

The employee shall meet all General SAS Staff Qualifications

F. Specific Training Requirements:

General SAS Service Training Requirements shall be completed before providing services

G. Rate: HS1 is a one-to-one, quarter hour service

PERSONAL ASSISTANCE (PA1)

A. General Description:

Personal Assistance service (PA1) is the hands-on care of both medical and non-medical supports needs of a medically stable person. This service is intended to reinforce a person's strengths, while substituting or compensating for the absence, loss, diminution, or impairment of physical or cognitive functions.

PA1 is generally provided on a regularly scheduled basis, though may be offered on an intermittent or as-needed basis. Services may be provided in the person's place of residence or community setting.

B. Population Served:

Persons with Intellectual Disabilities and Related Conditions (ID, RC) and/or adults age 18 and older Physical Disabilities (PD) as defined in Utah Administrative Rule R539-1 and are receiving Department of Human Services, Division of Services for People with Disabilities (DHS/DSPD) Self-Administered Services (SAS).

C. Direct Service Requirements:

1. All General SAS Service Requirements shall be implemented.
2. Maintain a sanitary and safe living environment in the person's home.
3. PA1 may include the following:
 - a. Skilled medical care and health maintenance;
 - b. Housekeeping, chore services and other reasonable and necessary activities;

D. Limitations:

PA1 shall not:

1. Be provide or billed for at the same time persons are receiving any other DHS/DSPD services
2. Include 24-hour direct care employee support

3. Be used for personal needs costs

E. Employee Qualifications:

1. The employee shall meet all General Staff Qualifications
2. Be capable of physically completing all required tasks

F. Specific Training Requirements:

The employee shall meet all General SAS Staff Qualifications

- G. Rate: PA1 is a one-to-one service that includes quarter hour and daily rate. A daily rate is equal to **eight** or more continuous hours of PA1 service.

ROUTINE RESPITE (RP1)

A. General Description:

Routine respite service (RP1) provides one-to-one care to give relief to, or during the absence of the normal caregiver. This care is typically provided in the person's residence or other approved setting.

B. Population Served:

Persons with Intellectual Disabilities, Related Conditions (ID, RC) and/or adults age 18 and older with Acquired Brain Injury (ABI) as defined in Utah Administrative Code, Rule R539-1 and are receiving Department of Human Services, Division of Services for People with Disabilities(DHS/DSPD) Self-Administered Services (SAS).

C. Direct Service Requirements:

1. All General SAS Service Requirements shall be implemented
2. RP1 shall be provided with a one-to-one ratio
3. RP1 shall be provided in the person's residence or a setting approved in writing by DHS/DSPD
4. Personal belongings such as clothing, personal hygiene products, and medicine shall be provided by the employer and accompany the person. The employee is not responsible for providing these items
5. Transportation: if the RP1 employee provides transportation, the employee shall have:
 - a. A current and valid driver's license
 - b. Current vehicle registration
 - c. Current automobile insuranceThe employee shall ensure:
 - d. Persons are not left unattended in the vehicle
 - e. Persons use lap/shoulder belts and remain seated while the vehicle is in motion

- f. Keys are removed from the vehicle at all time when the driver is not in the driver's seat unless the driver is actively operating a lift on vehicles that require the keys to be in the ignition to operate the lift
- g. All persons in wheelchairs use both the available lap belt and wheel locks on the person's wheelchair and available lap/shoulder belt within the vehicle/mechanisms to restrict movement of wheelchairs during travel seat belts, or locking mechanisms to immobilize wheelchairs during travel
- h. Persons are transported in safety restraint seats when required by Utah State law
- i. Vehicles used for transporting persons have working door locks. Doors are locked at all times while the vehicle is moving
- j. Persons arrive safely at the scheduled time and arranged destination, that no person is left alone along the way to or from day supports even in emergency situations or when the health and safety of others may be in question. If necessary during an emergency, the driver may wait until another driver arrives to complete the transport

D. Limitations:

RP1 shall **not**:

1. Be provided by an employee caring for more than four people at any one time including the employee's own minor children under the age of 14
2. Be provided or billed for at the same time persons are receiving any other DHS/DSPD services
3. Be provided for exceptional care needs
4. Include room and board
5. Be provided for ongoing day care

E. Employee Qualifications:

The employee shall meet all General SAS Staff Qualifications

F. Specific Training Requirements:

General SAS Service Training Requirements shall be completed before providing services

G. Rate:

RP1 is a one-to-one service that includes both a quarter hour and daily rate. A daily rate is equal to six or more hours of RP1. For overnight RP1 an employee may bill for the day the person came and not the day the person left. The person must have at least a full six our stay to qualify for the daily rate. Hours less than six on the day of departure may be billed as using the quarter hour rate.

ROUTINE RESPITE WITH ROOM AND BOARD INCLUDED (RP6)

A. General Description:

Routine respite with room and board provides one-to-one and overnight care to give relief to, or during the absence of, the normal caregiver. This care is typically provided in the RP6 employee's residence.

B. Population Served:

Persons with Intellectual Disabilities, Related Conditions (ID, RC) and/or adults age 18 and older with Acquired Brain Injury (ABI) as defined in Utah Administrative Code, Rule R539-1 and are receiving Department of Human Services, Division of Services for People with Disabilities(DHS/DSPD) Self-Administered Services (SAS).

C. Direct Service Requirements:

1. All General SAS Service Requirements shall be implemented
2. RP6 shall be provided with a one-to-one ratio
3. RP6 shall be provided in the RP6 employee's residence or a setting approved in written by DHS/DSPD that is not the person's private residence
4. Personal belongings such as clothing, and personal hygiene products, and medicine shall be provided by the employer and accompany the person. The employee is not responsible for providing these items
5. Transportation: if the RP6 employee provides transportation, the employee shall have:
 - a. A current and valid driver's license
 - b. Current vehicle registration
 - c. Current automobile insuranceEmployee shall ensure:
 - d. Persons are not left unattended in the vehicle
 - e. Persons use lap/shoulder belts and remain seated while the vehicle is in motion
 - f. Keys are removed from the vehicle at all time when the driver is not in the driver's seat unless the driver is actively operating a lift on vehicles that require the keys to be in the ignition to operate the lift

- g. All persons in wheelchairs use both the available lap belt and wheel locks on the person's wheelchair and available lap/shoulder belt within the vehicle/mechanisms to restrict movement of wheelchairs during travel seat belts, or locking mechanisms to immobilize wheelchairs during travel
- h. Persons are transported in safety restraint seats when required by Utah State law
- i. Vehicles used for transporting persons have working door locks. Doors are locked at all times while the vehicle is moving
- j. Persons arrive safely at the scheduled time and arranged destination, that no person is left alone along the way to or from day supports even in emergency situations or when the health and safety of others may be in question. If necessary during an emergency, the driver may wait until another driver arrives to complete the transport

E. Limitations:

RP6 shall **not** be:

- 1. Provided in the person being served private residence
- 2. Provided by an employee caring for more than four people at any one time, including the employee's own minor children under the age of 14
- 3. Provided or billed at the same time persons are receiving any other DHS/DSPD services
- 4. Be billed for the day the person is leaving from RP6 services when overnight respite has been provided
- 5. Provided for exceptional care needs
- 6. Be provided for ongoing day care

E. Employee Qualifications:

The employee shall meet all General SAS Staff Qualifications

F. Specific Training Requirements:

General SAS Service Training Requirements shall be completed before providing services

- G. Rate: RP6 has a daily rate. A daily rate is equal to six or more hours of RP6. For overnight RP6 an employee may bill for the day the person came and not the day the person left. The person must have at least a full six hour stay to qualify for the daily rate. Hours less than six on the day of departure may be billed as using the quarter hour rate.

ROUTINE RESPITE – GROUP (RP7)

A. General Description:

Routine respite–group service (RP7) provides group care for up to three persons, to give relief to, or during the absence of, the normal caregiver. This care is typically provided in the person’s residence or other approved setting.

B. Population Served:

Persons with Intellectual Disabilities, Related Conditions (ID, RC) and/or adults age 18 and older with Acquired Brain Injury (ABI) as defined in Utah Administrative Code, Rule R539-1 and are receiving Department of Human Services, Division of Services for People with Disabilities(DHS/DSPD) Self-Administered Services (SAS).

C. Direct Service Requirements:

1. All General SAS service Requirements shall be implemented
2. RP7 shall be provided for up to three persons at a time
3. RP7 shall be provided in the person’s residence or a setting approved in written by DHS/DSPD
4. Personal belongings such as clothing, personal hygiene products, and medicine shall be provided by the employer and accompany the person. The employee is not responsible for providing these items
5. Transportation: if the RP7 employee provides transportation, the employee shall have:
 - a. A current and valid driver’s license
 - b. Current vehicle registration
 - c. Current automobile insurance

Employee shall ensure:

- d. Persons are not left unattended in the vehicle
- e. Persons use lap/shoulder belts and remain seated while the vehicle is in motion
- f. Keys are removed from the vehicle at all time when the driver is not in the driver's seat unless the driver is actively operating a lift on vehicles that require the keys to be in the ignition to operate the lift

- g. All persons in wheelchairs use both the available lap belt and wheel locks on the person's wheelchair and available lap/shoulder belt within the vehicle/mechanisms to restrict movement of wheelchairs during travel seat belts, or locking mechanisms to immobilize wheelchairs during travel
- h. Persons are transported in safety restraint seats when required by Utah State law
- i. Vehicles used for transporting persons have working door locks. Doors are locked at all times while the vehicle is moving
- j. Persons arrive safely at the scheduled time and arranged destination, that no person is left alone along the way to or from day supports even in emergency situations or when the health and safety of others may be in question. If necessary during an emergency, the driver may wait until another driver arrives to complete the transport

E. Limitations:

RP7 shall **not**:

- 1. Be provided by an employee caring for more than four people at any one time including the employee's own minor children under the age of fourteen
- 2. Be provided or billed for at the same time persons are receiving any other DHS/DSPD services
- 3. Be provided for exceptional care needs
- 4. Include room and board
- 5. Be provided for ongoing day care

E. Employee Qualifications:

The employee shall meet all General SAS Staff Qualifications

F. Specific Training Requirements:

General SAS Service Training Requirements shall be completed before providing services

G. Rate:

RP7 includes a quarter hour and daily rate. A daily rate is equal to six or more hours of RP7. For overnight RP7 an employee may bill for the day the person came and not the day the person left. The person must have at least a full six hour stay to qualify for the daily rate. Hours less than six on the day of departure may be billed as using the hourly rate. The rate reflects the amount paid to the employee for each person served in the group.

ROUTINE RESPITE – GROUP WITH ROOM AND BOARD (RP8)

A. General Description:

three Routine respite—group with room and board service (RP8) provides group care up to persons, to give relief to, or during the absence of, the normal caregiver. This care is typically provided in the RP8 employee's residence.

B. Population Served:

Persons with Intellectual Disabilities, Related Conditions (ID, RC) and/or adults age 18 and older with Acquired Brain Injury (ABI) as defined in Utah Administrative Code, Rule R539-1 and are receiving Department of Human Services, Division of Services for People with Disabilities(DHS/DSPD) Self-Administered Services (SAS).

C. Direct Service Requirements:

1. All general SAS service requirements shall be implemented
2. RP8 shall be provided for up to three persons at a time
3. RP8 shall be provided in the RP8 employee's residence or a setting approved in written by DHS/DSPD that is not the person's private residence
4. Personal belongings such as clothing, personal hygiene products, and medicine shall be provided by the employer and accompany the person. The employee is not responsible for providing these items
5. Transportation: if the RP8 employee provides transportation, the employee shall have:
 - a. A current and valid driver's license
 - b. Current vehicle registration
 - c. Current automobile insuranceEmployee shall ensure:
 - d. Persons are not left unattended in the vehicle
 - e. Persons use lap/shoulder belts and remain seated while the vehicle is in motion
 - f. Keys are removed from the vehicle at all time when the driver is not in the driver's seat unless the driver is actively operating a lift on vehicles that require the keys to be in the ignition to operate the lift

- g. All persons in wheelchairs use both the available lap belt and wheel locks on the person's wheelchair and available lap/shoulder belt within the vehicle/mechanisms to restrict movement of wheelchairs during travel seat belts, or locking mechanisms to immobilize wheelchairs during travel
- h. Persons are transported in safety restraint seats when required by Utah State law
- i. Vehicles used for transporting persons have working door locks. Doors are locked at all times while the vehicle is moving
- j. Persons arrive safely at the scheduled time and arranged destination and that no person is left alone along the way to or from day supports even in emergency situations or when the health and safety of others may be in question. If necessary during an emergency, the driver may wait until another driver arrives to complete the transport

E. Limitations:

RP8 shall **not** be:

- 1. Provided in the person being served's private residence
- 2. Be provided by an employee caring for more than four people at any one time including the employee's own minor children under the age of 14
- 3. Be provided or billed for at the same time persons are receiving any other DHS/DSPD services
- 4. Be provided for exceptional care needs
- 5. Be provided for ongoing day care

E. Employee Qualifications:

The employee shall meet all General SAS Staff Qualifications

F. Specific Training Requirements:

General SAS service training requirements shall be completed before providing services

- G. Rate: RP8 includes a quarter hour and daily rate. A daily rate is equal to six or more hours of RP8. For overnight respite services an employee may bill for the day the person came but not the day the person left. The person must have at least a full six hour stay to qualify for the daily rate. Hours less than six on the day of departure may be billed using the hourly rate. The rate reflects the amount paid to the employee for each person served in the group.

SUPPORTED LIVING (SL1)

A. General Description:

Supported Living services (SL1) provide one-on-one support, supervision, training and assistance for persons to live independently.

B. Population Served:

Persons with Intellectual Disabilities, Related Conditions (ID, RC) and/or adults age 18 and older with Acquired Brain Injury (ABI) as defined in Utah Administrative Code, Rule R539-1 and are receiving Department of Human Services, Division of Services for People with Disabilities(DHS/DSPD) Self-Administered Services (SAS).

C. Direct Service Requirements:

1. All General SAS Service Requirements shall be implemented
2. SL1 service may include assistance with the following:
 - a. maintenance of the person's health and safety
 - b. personal care
 - c. homemaker and chore responsibilities
 - d. advocacy and communication
 - e. activities of daily living
 - f. transportation to access community activities and shopping
 - g. keeping track of money and bills
 - h. using the telephone
 - i. indirect services such as socialization, self-help and adaptive/compensatory skills development needed to reside successfully in the community
3. Provide routine transportation and assist the person in accessing community services and resources, including, but not limited to, finding housing, and applying for assistance programs
4. Transportation: Employees shall have:
 - a. A current and valid driver's license
 - b. Current vehicle registration

- c. Current automobile insurance

Employee shall ensure:

- d. Persons are not left unattended in the vehicle
- e. Persons use lap/shoulder belts and remain seated while the vehicle is in motion
- f. Keys are removed from the vehicle at all time when the driver is not in the driver's seat unless the driver is actively operating a lift on vehicles that require the keys to be in the ignition to operate the lift
- g. All persons in wheelchairs use both the available lap belt and wheel locks on the person's wheelchair and available lap/shoulder belt within the vehicle/mechanisms to restrict movement of wheelchairs during travel seat belts, or locking mechanisms to immobilize wheelchairs during travel
- h. Persons are transported in safety restraint seats when required by Utah State law
- i. Vehicles used for transporting persons have working door locks. Doors are locked at all times while the vehicle is moving
- j. Persons arrive safely at the scheduled time and arranged destination, that no person is left alone along the way to or from day supports even in emergency situations or when the health and safety of others may be in question. If necessary during an emergency, the driver may wait until another driver arrives to complete the transport

D. Limitations:

SL1 shall **not** be:

- 1. Provided or billed the same day as the following service codes: CH1,CHA, HS1, HSQ, PA1. PAC, TFA, TF1, TFB, HHS, PPS, RHS, or SLN
- 2. Provided or billed at the same time persons are receiving any other DHS/DSPD services
- 3. Billed for personal needs cost
- 4. Billed for room and board

E. Employee Qualifications:

The employee shall meet all General SAS Staff Qualifications

F. Specific Training Requirements:

General SAS Service Training Requirements shall be completed before providing services

G. Rate:

SL1 is a one-to-one service with a quarter hour rate.

If a person required more than eight hours of SL1 a day, a more cost effective service should be investigated

Frequently Asked Questions

Q: When are background checks due?

A: Background checks are completed on an annual basis, and upon hire through the [Background screening application](#) form. This form is processed by the fiscal agent and sent to the Department of Human Services, Office of Licensing. Employees can provide direct services while an initial background check is being processed for up to 30 days; however, this can only be done under direct supervision of someone who possesses a cleared background check. The 30-day window is only applicable for initial hires, and is not applicable toward annual reviews. Individuals working with expired background screening checks will be denied payments. Therefore, the fiscal agent will remind the employer to process a renewal approximately 45 days prior to the lapse date of the current background check. New applicants doing initial screening forms will need to submit fingerprints. Please refer to the background check section in the SAS book for further information

Q: How do I pick a support coordinator?

A: Ask around and find out which support coordinator other individuals/families are using and how satisfied they are with the service they receive from the individual or company they have selected. If you know who you want for your support coordinator, contact that support coordinator and see if they are willing to set up an interview with you. Many of the current support coordination companies will have multiple staff to choose from.

You can also get contact information for Support Coordinators on DSPD's website (www.dspd.utah.gov) or by calling DSPD at 1-844-ASK-DSPD

Q: Can I change Support Coordinators?

A: Any time you wish to change your support coordinator; you have the right to select a new one. There are several ways this can be completed. You can contact DSPD via email to request an ISO (Invitation to Submit Offer) be sent out. You can do this by emailing to: DSPD-ISO@utah.gov. Support coordinators who are available will contact DSPD directly by responding to the ISO.

You can contact DSPD directly at 1-844-ASK-DSPD to speak with technical assistance.

State support coordinators and intake workers can also assist on submitting ISO's.

You can research support coordinators online and call companies directly. A list of contracted support coordinators can be accessed online.

You will need to contact DSPD if you do change support coordinators.

10-day notification is required prior to changing services, and should be negotiated through DSPD to ensure timely provider payments.

DSPD can assist you in setting up interviews, or you can set up your own interviews independently by contacting potential candidates directly.

Q: How do I pick a fiscal agent?

A: There are currently three contracted fiscal agents to choose from when starting Self-Administered Services. You can call the listed fiscal agents and ask questions, as well as visit the website and research your options.

Q: Can I change Fiscal agents?

A: Yes, you can change fiscal agents at any time; however, you will be required to provide notification to the fiscal agent to allow transition from one service provider to another. A [notice of termination](#) of FMS (fiscal agent) services is available online, and can be filled out and submitted by your support coordinator. Links to the notice of termination are listed under Section 4 General Self-Administered Service Forms.

Q: How and where do I find Employees?

A: Often the best employees are family members or those you already know. Employers can develop job postings online, work through DWS, or access services such as Indeed.com, and hiremycare.com. Hiremycare.org has created a free online resource registry to connect caregivers with qualified care providers please refer to Section 4 Additional Supports and Resources for contact information

Section 4: SAS Forms and Links

2-9SA Self-Administered Service Agreement

Community Supports Waiver

[http://dspd.utah.gov/pdf/2.9-SA\(CSW\)%20Self-Administered%20Services%20Agreement.pdf](http://dspd.utah.gov/pdf/2.9-SA(CSW)%20Self-Administered%20Services%20Agreement.pdf)

Acquired Brain Injury Waiver

[http://dspd.utah.gov/pdf/2.9-SA\(ABI\)%20Self-Administered%20Services%20Agreement.pdf](http://dspd.utah.gov/pdf/2.9-SA(ABI)%20Self-Administered%20Services%20Agreement.pdf)

Form 2-9C- Application for Certification

Community Supports Waiver

[http://dspd.utah.gov/pdf/2-9C\(CSW\)%20Application%20for%20Certification%20to%20Provide%20Limited%20Services%20for%20Self-Administered%20Services%20\(CSW\).pdf](http://dspd.utah.gov/pdf/2-9C(CSW)%20Application%20for%20Certification%20to%20Provide%20Limited%20Services%20for%20Self-Administered%20Services%20(CSW).pdf)

Acquired Brain Injury Waiver

[http://dspd.utah.gov/pdf/2-9C\(ABI\)%20Application%20for%20Certification%20to%20Provide%20Limited%20Services%20for%20Self-Administered%20Services%20\(ABI\).pdf](http://dspd.utah.gov/pdf/2-9C(ABI)%20Application%20for%20Certification%20to%20Provide%20Limited%20Services%20for%20Self-Administered%20Services%20(ABI).pdf)

Form 2-9EA- Employee Agreement

Community Supports Waiver

[http://dspd.utah.gov/pdf/2.9-EA\(CSW\)%20Self-Administered%20Services%20Employment%20Agreement%20\(CSW\).pdf](http://dspd.utah.gov/pdf/2.9-EA(CSW)%20Self-Administered%20Services%20Employment%20Agreement%20(CSW).pdf)

Acquired Brain Injury Waiver

[http://dspd.utah.gov/pdf/2.9-EA\(ABI\)%20Self-Administered%20Services%20Employment%20Agreement%20\(ABI\).pdf](http://dspd.utah.gov/pdf/2.9-EA(ABI)%20Self-Administered%20Services%20Employment%20Agreement%20(ABI).pdf)

Department Code of Conduct

<http://dspd.utah.gov/pdf/1.20%20Code%20of%20Conduct.pdf>

1-8 Incident Report Form

<http://hspolicy.utah.gov/files/dspd/Forms/1-8%20Incident%20Report%20Form.pdf>

Background Screening Application

<http://dspd.utah.gov/pdf/Background%20Screening%20Application%20for%20Direct%20Services%20Workers.pdf>

Support Strategies

<http://dspd.utah.gov/pdf/Support%20Strategies.pdf>

Monthly Summaries

<http://dspd.utah.gov/pdf/Monthly%20Summary.pdf>

Service Specific Training

<http://dspd.utah.gov/pdf/Service%20Specific%20Training.pdf>

Notice of Termination of FMS Service

<http://dspd.utah.gov/pdf/2.9-T%20%20Notice%20of%20Termination%20of%20FMS%20Services.pdf>

Administrative Rule

<http://www.rules.utah.gov/search/searchresults.htm?cx=013817919410579482056%3Apx72jxkmftu&cof=FORID%3A10&ie=UTF-8&q=R539&sa=&siteurl=www.rules.utah.gov>

DSPD Self-Administered Services Link

<http://dspd.utah.gov/services/self-administered-services/>

Fiscal agent Links

Acumen Fiscal agent

<https://www.acumenfiscalagent.com/>

Leonard Consulting, LLC

<http://leonardconsultingllc.com/>

Morning Star Financial Services

<http://morningstarfs.com/>

Fiscal agent Forms

W4: <http://www.irs.gov/pub/irs-pdf/fw4.pdf>

I-9: <http://www.uscis.gov/files/form/i-9.pdf>

Contracted Support Coordinator Contacts:

<http://dspd.utah.gov/pdf/Support%20Coordinator%20Contact%20Information.pdf>

EMPLOYER RESOURCES

The Division of Workforce Services

<http://jobs.utah.gov/>

Toll Free: (888)-920-9675

The Division of Workforce Services can assist you with posting your job listing on their site. You may be asked to provide your employer ID number that you have been given by your fiscal agent.

ADDITIONAL RESOURCES

Utah Parent Center

www.utahparentcenter.org

Phone: 801-272-1051

Toll-Free in Utah: 1-800-468-1160

Spanish: 801-272-1067

United Way 2-1-1

www.uw.org/211

Utah Brain Injury Alliance

www.biau.org

Phone: 801-716-4993

Toll-Free: (800)-281-8442

Española: 801-716-4996

Utah State Office of Rehabilitation

<http://www.workabilityutah.org/work/usor.php>

Phone: 801- 538-7530

Toll free: (800) 473-7530

Hiremycare.org

<http://hiremycare.org/>

Phone: (855) 285-HIRE (4473)

Indeed.Com

<http://www.indeed.com/hire>

The Division of Services for People with Disabilities aims to provide services to people with disabilities in the least restrictive manner possible. Self-Administered Services allow people to live in the community and take control of their own lives. For more information on SAS or other offered services, contact DSPD.

Address:

Department of Human Services
Division of Services for People with Disabilities
195 North 1950 West
Salt Lake City, Utah 84116

Phone: 1 (844) ASK-DSPD

Fax: (801) 538-4279

Email: dspd@utah.gov

Web: www.dspd.utah.gov